

RECORDS RETENTION SCHEDULE

APPROVAL REQUEST

STD. 72 (REV. 9-89)

05-26-94-661

6/6/94

DEPARTMENT, BOARD OR COMMISSION	CA Department of Health Services	BILLING CODE	83131
DIVISION, BUREAU OR OTHER UNIT	Chronic Disease Control Branch	CUBIC FEET (Total Schedule)	44.5
ADDRESS	601 North 7th Street, MS-725, Sacramento, CA 95814	SCHEDULE DATE	4/28/94
SCHEDULE NUMBER	239	NUMBER OF PAGES	7
IF THIS IS A REVISION OF AN EXISTING SCHEDULE(S) (including addition or deletion of pages), enter the following information from the EXISTING schedule(s).			
SCHEDULE NUMBER(S)	135	PAGE NUMBER(S) REVISED	ALL
APPROVAL NUMBER(S)	87-36	APPROVAL DATE(S)	3/5/87

Submit three copies with three copies of the
Records Retention Schedule, STD. 73.

TO: DEPARTMENT OF GENERAL SERVICES
OFFICE OF RECORDS MANAGEMENT
428 J Street, Suite 390
Sacramento, CA 95814 (or IMS C-40)

(916) 445-2294 or ATSS 8-485-2294

- ☒ Check this box to indicate ALL items in the schedule have been reviewed. (A new approval number will be assigned).
- ☐ Check this box to indicate only certain items in this schedule have been reviewed for revision, addition, or deletion. (The original approval number will remain in effect.)

PART I -- AGENCY STATEMENTS

As the program manager directly responsible for the records listed on the attached schedule, I certify that I have reviewed the need for the records, that each retention period is necessary and correct as scheduled, and (for a revised schedule) that all items on the previous schedule have been accounted for.

SIGNATURE--MANAGER DIRECTLY RESPONSIBLE FOR THE RECORDS

Robert Allen TITLE Chief, Chronic Disease Control Branch DATE 4/28/94

In accordance with Government Code 14755, approval of the attached Records Retention Schedule by the Department of General Services is hereby requested. Retention periods have been established by this agency after a careful evaluation of all the factors listed in Section 1667 of the State Administrative Manual.

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the retention and disposal of records. (Per Section 1611 of the State Administrative Manual.)

SIGNATURE--RECORDS MANAGEMENT COORDINATOR

Jim Drilling TITLE CHIEF, RECORDS MGMT & ADMIN SUPPORT
(NAME Printed or Typed) TELEPHONE (416) 333 4230 DATE 6/6/94

PART II -- DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)

The Department of General Services has no jurisdiction over entries made in Column 16 of form STD-73. Our approval covers Columns 1 - 17 only.

SIGNATURE *John P. Rogers* APPROVAL NUMBER 94-143
TITLE *John P. Rogers* DATE 7/5/94

PART III -- ARCHIVAL SELECTION (Per Government Code Section 14755)

THE ATTACHED RECORDS RETENTION SCHEDULE:

☐ Contains no material subject to further review by the California State Archives

☒ Contains material subject to archival review. Items stamped "Hold/Notify Archives" may not be destroyed without clearance by the Secretary of State. (Per Section 1614 of the State Administrative Manual.)

CALIFORNIA
STATE ARCHIVES

SIGNATURE--CHIEF OF ARCHIVES

John F. Rogers DATE JUL 19 1994

**See instructions on reverse
and in SAM 1600**

DEPARTMENT (1) CA Department of Health Services		SCHEDULE NUMBER (2) 239	DATE (3) 4/28/94
ORGANIZATIONAL UNIT Chronic Disease Control Branch		PAGE 1	OF 7 PAGES (4)
ADDRESS (Number Street City) 601 North 7th Street, Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 94-143	

ITEM NUMBER (6)	CUBIC FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			<p>Mission Statement</p> <p>The Chronic Disease Control Branch is to develop: assessment, surveillance prevention, intervention and policy activities directed toward morbidity, mortality and risk behavior problems not otherwise addressed by other departmental categorical programs. Primary focus is on chronic diseases, such as cardiovascular diseases, diabetes, dental disease, Alzheimer's disease, prevention of diseases associated with aging general health promotion, epidemiology and health screening. The Branch programs are targeted toward high-risk populations, with an emphasis on epidemiologic studies and the education of health professionals, and the public at large. To meet these activities, the Branch is organized into five sections: Epidemiology and Disease Prevention Section, Office of Dental Health, Human Population Laboratory, Center for Gerontology and Program Development Section.</p> <p>For those records which have no governing law or authority for retention cited, the manager directly responsible for the records, authority applies.</p> <p>This Records Retention Schedule is for the Chronic Disease Control Branch Office, Epidemiology and Disease Prevention Section, Dental Health Section, and the Gerontology Section, formerly the Adult Health Section.</p>								

*Provide total of office and departmental

*Provide total of office and departmental

RECORDS RETENTION SCHEDULE

STD. 73 (REV. 5/90)

See instructions on reverse
and in SAM 1600DEPARTMENT (1)
CA Department of Health Services

ORGANIZATIONAL UNIT

Chronic Disease Control Branch

ADDRESS (Number

Street

City)

601 North 7th Street,

Sacramento

SCHEDULE NUMBER (2)

239

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DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)

94-143

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
1.	1.0		<u>ADMINISTRATION</u>								
2	2.0	Hold / Noisy Archives	<u>Monthly Activity Reports</u>	P		2			2		
			<u>Chron Files</u> (Copies of Chronic Disease Control Branch program memo, reports, correspondence and/or transcripts for referral)	P		2			2		
3	1.5	Hold / Noisy Archives	<u>Conferences, Committees and Meeting</u> (Program advisory committees e.g. Prevention 2000 or Diabetes Strategic Planning Committee)	P		2			2		
4	1.0	Hold / Noisy Archives	<u>Correspondence - General</u> (Program responses to public inquiries). Equipment (CDCB inventory listing and purchase documentation)	P		2			2		
5	1.0		Inventory	P		Active +1			Active +1		Becomes inactive when new inventory is completed, keep one year after it becomes inactive then destroy.
6	1.0		Requisitions	P		Active +.5			Active +.5		Becomes inactive when transaction is completed. Destroy 6 months after completion.

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DEPARTMENT (1) CA Department of Health Services		SCHEDULE NUMBER (2) 239	DATE (3) 4/28/94
ORGANIZATIONAL UNIT Chronic Disease Control Branch		PAGE 3	OF 7 PAGES (4)
ADDRESS (Number Street City) 601 North 7th Street, Sacramento		DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5) 94-143	

ITEM NUMBER (Triple space between letters) (6)	CUBIC FEET* (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple space between items) (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
7	1.0		<u>Financial</u> Budgets (CDCB program records of state and federal funds)	P		4			4		
8	2.0	Hold / Health Archives	<u>Legal</u> Bill Analysis; Legislation	P		3			3	X	PRA6254(1)
8a		Hold / Health Archives	Opinions (Preventive Health and Health Services (PHHS) Block Grant Personnel)	P		3			3	X	PRA6254(1)
8b		Hold / Health Archives	Regulations (Department of Health Services public regu- lations related to CDCB program activities)	P	Active				Active		Becomes inactive when regulations updated. After regulations are printed destroy.
9		Hold / Health Archives	<u>Organization</u> (CDCB Program organization Charts - historical records of Department of Health Services (DHS) Programs)	P	Active +2				Active +2		Becomes inactive when superseded.
10	2.0		<u>Personnel</u> Absence Reports	P		2			2	XI	PRA6254(c&l), IPA1798.3

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CA Department of Health Services

ORGANIZATIONAL UNIT

Chronic Disease Control Branch

ADDRESS (Number Street City)

601 North 7th Street,

Sacramento

SCHEDULE NUMBER (2)

239

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						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
11	1.0		Affirmation Action Reports (Personnel): Applicant Records: Attendance Records: Curricula Vitae	P		2			2	XI	PRA6254(c), IPA1798.3(c).(b)
12			Punitive Action Investigation	P		Active			Active	XI	Becomes Inactive when investigation is closed/terminated. Destroy after record becomes inactive. PRA6254(c), IPA1798.3
13			Policy and Procedures (DHS Personnel policy and procedure memos provided to program staff)	P		Active +1			Active +1		Becomes inactive when new/revised policy implemented, then destroy.
14	<u>✓</u>		Travel Advances/Vouchers <u>RECORDS MANAGEMENT</u>	P		4			4	XI	PRA6254(c), IPA1798.3
15	1.0		Disposition Schedules	P		Active +.5			Active +.5		? Becomes inactive when superseded. + 5 Retain additional 6 months and destroy
16			Printing and Duplication	P		Active			Active		Becomes inactive when transaction is complete then destroy.
17			Holdings and Destruction	P		1			1		
18			Transfer List	P		Active +2			Active +2		Becomes inactive when superseded. Retain an additional 2 years and destroy.
19			<u>Reports and Studies</u> (Chronic Disease statistical reports and studies related program/ public health activities)	P		4			4		PRA6254(c), IPA1798.3

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See Instructions on reverse
and in SAM 1600DEPARTMENT (1)
CA Department of Health ServicesSCHEDULE NUMBER (2)
239DATE (3)
4/28/94ORGANIZATIONAL UNIT
Chronic Disease Control Branch

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ADDRESS (Number Street City)
601 North 7th Street, SacramentoDEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER (5)
9A-143

ITEM NUMBER (6)	CUBIC FEET (7)	CALIFORNIA STATE ARCHIVES USE ONLY (8)	TITLE AND DESCRIPTION OF RECORDS (Triple space between items) (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (EXEMPT) & IPA (16)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SAC (14)	TOTAL (15)		
20	3.0		Statistics (Statistical reports published by DHS programs related to chronic diseases)	P		3			3		
21	1.0		Training (Training records of CDCB employees participating in In-Service and On-Site training programs)	P		1			1	XI	PRA6254, IPA1798.40
22	12.0		PROGRAM FILES (INFORMATIONAL) Alzheimer's Arthritis; Cancer; Chronic Obstructive Lung Diseases; Diabetes; Health Education-Risk Reduction; Hypertension; Mammography Screening; Nutrition; Office of Dental Health; Office of Disaster Preparedness; Preventive Health Care for the Aging; Preventive Medical Residency Program	P		3		4	7		Required for program research data PRA6254, IPA1798.3 Manager decision
23	15		Public Health Grand Rounds (Public Health Audio Tapes)	X		2		5	7	XI	PRA6254(c), IPA1798.3 Manager Decision
24	3		CONTINUING EDUCATION DOCUMENTATION Seminar Material (Includes Handouts, CVs, Registration Material and Evaluations)	P		2		5	7	XI	PRA6254(c), IPA1798.3 Manager Decision
Total 44.5											

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ITEM NUMBER (8)	CUBIC FEET (7)	CALIFORNIA STATE ARCHIVES USE ONLY (6)	TITLE AND DESCRIPTION OF RECORDS (9)	MEDIA (10)	VITAL (11)	RETENTION				PRA (Exempt) & IPA (18)	REMARKS (17)
						OFFICE (12)	DEPT. (13)	SRC (14)	TOTAL (15)		
			Item No. from Old								Item No. on New Schedule
			2								2
			3								2
			4								3
			5								4
			10								8
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			12								8
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			<u>Item No. from Old</u>								<u>Item No. on New Schedule</u>
		32	Hospice								Transferred to State Records Center, Program no longer exists.
		33	Lupus								Transferred to State Records Center, Program no longer exists.
		34	Nutrition (Merged with Diabetes)								22
		35	Office of Dental Health								22
		36	Office of Disaster Preparedness								See Emergency Preparedness and Injury Control Branch
		37	Preventive Health Care for the Aging								22
		38	Preventive Medical Residency Program								22
		39	Public Health Grand Rounds								23
		40	Violence								See Emergency Preparedness and Injury Control Branch
		41	Public Relations: Clippings								23
		42	Speeches								23
		43	Records Management: Disposition Schedules								15
		44	Printing and Duplication								16
		45	Holdings and Destruction								17
		46	Transfer Lists								18
		47	Reports and Studies								19
		48	Statistics								20
		49	Training: In-Service								21
		50	On-Site								21

*Provide total of office and departmental

States Small Business Administration. The California Pollution Control Financing Authority shall adopt rules for review of individual requests for confidentiality under this section and for making available to the public those portions of an application which are subject to disclosure under this chapter.

(p) Records of the University of California, Hastings College of the Law, and the California State University and Colleges prepared for or during collective bargaining sessions, or minutes of such sessions.

Nothing in this section is to be construed as preventing any agency from opening its records concerning the administration of the agency to public inspection, unless disclosure is otherwise prohibited by law.

(Added by Stats.1968, c. 1473, p. 2946, § 39. Amended by Stats.1970, c. 1231, p. 2157, § 11.5; Stats.1970, c. 1295, p. 2396, § 1.5; Stats.1975, c. 1231, p. 3121, § 1; Stats.1975, c. 1246, p. 3209, § 3; Stats.1976, c. 314, p. 629, § 1; Stats.1977, c. 579, p. 1853, § 60; Stats.1977, c. 650, p. 2157, § 1, eff. Sept. 8, 1977; Stats.1978, c. 1217, § 3; Stats.1978, c. 744, § 4, operative July 1, 1979; Stats.1978, c. 1217, § 4, operative July 1, 1979.)

For text of section operative Jan. 1, 1981, see § 6254, post.

§ 6254. Exemption of particular records

Text of section operative Jan. 1, 1981.

Except as provided in Section 6254.7, nothing in this chapter shall be construed to require disclosure of records that are any of the following:

(a) Preliminary drafts, notes, or interagency or intra-agency memoranda which are not retained by the public agency in the ordinary course of business, provided that the public interest in withholding such records clearly outweighs the public interest in disclosure.

(b) Records pertaining to pending litigation to which the public agency is a party, or to claims made pursuant to Division 3.6 (commencing with Section 810) of Title 1 of the Government Code, until such litigation or claim has been finally adjudicated or otherwise settled.

(c) Personnel, medical, or similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy.

(d) Contained in or related to:

(1) Applications filed with any state agency responsible for the regulation or supervision of the issuance of securities or of financial

supply and construction contracts, until such time as all of the property has been acquired or all of the contract agreement obtained, provided, however, the law of eminent domain shall not be affected by this provision.

(i) Information required from any taxpayer in connection with the collection of local taxes which is received in confidence and the disclosure of the information to other persons would result in unfair competitive disadvantage to the person supplying such information.

(j) Library circulation records kept for the purpose of identifying the borrower of items available in libraries, and library and museum materials made or acquired and presented solely for reference or exhibition purposes. The exemption in this subdivision shall not apply to records of fines imposed on such borrowers.

(k) Records the disclosure of which is exempted or prohibited pursuant to provisions of federal or state law, including, but not limited to, provisions of the Evidence Code relating to privilege.

(l) Correspondence of and to the Governor or employees of the Governor's office or in the custody of or maintained by the Governor's legal affairs secretary, provided public records shall not be transferred to the custody of the Governor's legal affairs secretary to evade the disclosure provisions of this chapter.

(m) In the custody or maintained by the Legislative Counsel.

(n) Statements of personal worth or personal financial data required by a licensing agency and filed by an applicant with such licensing agency to establish his personal qualification for the license, certificate, or permit applied for.

(o) Financial data contained in applications for financing under Division 27 (commencing with Section 44500) of the Health and Safety Code, where an authorized officer of the California Pollution Control Financing Authority determines that disclosure of such financial data would be competitively injurious to the applicant and such data is required in order to obtain guarantees from the United States Small Business Administration. The California Pollution Control Financing Authority shall adopt rules for review of individual requests for confidentiality under this section and for making available to the public those portions of an application which are subject to disclosure under this chapter.

(p) Records of the University of California, Hastings College of the Law, and the California State University and Colleges prepared for or during collective bargaining sessions, or minutes of such sessions.

Nothing in this section is to be construed as preventing any agency from opening its records concerning the administration of the

ARTICLE 1

GENERAL PROVISIONS AND LEGISLATIVE FINDINGS

Citation

\$1798. This chapter shall be known and may be cited as the Information Practices Act of 1977.

Declarations and Findings

\$1798.1. The Legislature declares that the right to privacy is a personal and fundamental right protected by Section 1 of Article I of the Constitution of California and by the United States Constitution and that all individuals have a right of privacy in information pertaining to them. The Legislature further makes the following findings:

- (a) The right to privacy is being threatened by the indiscriminate collection, maintenance, and dissemination of personal information and the lack of effective laws and legal remedies.
- (b) The increasing use of computers and other sophisticated information technology has greatly magnified the potential risk to individual privacy that can occur from the maintenance of personal information.
- (c) In order to protect the privacy of individuals, it is necessary that the maintenance and dissemination of personal information be subject to strict limits.

* * * * *

Section 1 of Article I of the Constitution of the State of California states:

"All people are by nature free and independent and have inalienable rights. Among these are enjoying and defending life and liberty, acquiring, possessing, and protecting property, and pursuing and obtaining safety, happiness, and privacy."

United States constitutional protections of privacy, while not specifically articulated as in the State Constitution, have been interpreted by the courts to exist in the 1st, 3rd, 4th, 5th, 9th and 14th Amendments.

* * * * *

\$1798.2. Repealed by Chapter 595, Statutes of 1985.

ARTICLE 2

DEFINITIONS

\$1798.3. As used in this chapter:

- (a) The term "personal information" means any information that is maintained by an agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by, or attributed to, the individual.
- (b) The term "agency" means every state office, officer, department, division, bureau, board, commission, or other state agency, except that the term agency shall not include:
 - (1) The California Legislature.
 - (2) Any agency established under Article VI of the California Constitution.
 - (3) The State Compensation Insurance Fund, except as to any records which contain personal information about the employees of the State Compensation Insurance Fund.
 - (4) A local agency, as defined in subdivision (b) of Section 6252 of the Government Code.
- (c) The term "disclose" means to disclose, release, transfer, disseminate, or otherwise communicate all or any part of any record orally, in writing, or by electronic or any other means to any person or entity.

with respect to the individual to whom the record pertains, the agency shall fully inform the individual of all personal information about that individual without identification of the source. This may be done by providing a copy of the text of the material with only such deletions as are necessary to protect the identity of the source or by providing a comprehensive summary of the substance of the material. Whichever method is used, the agency shall insure that full disclosure is made to the subject of any personal information that could reasonably in any way reflect or convey anything detrimental, disparaging, or threatening to an individual's reputation, rights, benefits, privileges, or qualifications, or be used by an agency to make a determination that would affect an individual's rights, benefits, privileges, or qualifications. In institutions of higher education, "supervisory positions" shall not be deemed to include chairpersons of academic departments.

* * * * *

Restating the law, where the source person, who is not in a supervisory relationship to the individual, provided information to an agency, under a promise of confidentiality, and the information relates to one of the purposes specified in this Section or in subdivision (d) of Section 1798.40, the identity of the source may be withheld. The individual must either be allowed access to an exact copy of the information with only deletion of the source person's identity, or be provided a comprehensive summary of the substance of the information with particular attention to providing any personal information that could affect the individual's reputation, rights, benefits or privileges. This requirement to provide information to the individual does not apply to criminal law enforcement information, as set forth in subdivisions (a), (b) and (c) of Section 1798.40.

It should be noted that the identities of sources of information may be discoverable in litigation and the Act would defer to the applicable law in such cases (Sections 1798.71 and 1798.76).

* * * * *

Records Evidencing Property Rights

§1798.39. Sections 1798.35, 1798.36, and 1798.37 shall not apply to any record evidencing property rights.

Exempt Information

§1798.40. This chapter shall not be construed to require an agency to disclose personal information to the individual to whom the information pertains, if the information meets any of the following criteria:

- (a) Is compiled for the purpose of identifying individual criminal offenders and alleged offenders and consists only of identifying data and notations of arrests, the nature and disposition of criminal charges, sentencing, confinement, release, and parole and probation status.
- (b) Is compiled for the purpose of a criminal investigation of suspected criminal activities, including reports of informants and investigators, and associated with an identifiable individual.
- (c) Is contained in any record which could identify an individual and which is compiled at any stage of the process of enforcement of the criminal laws, from the arrest or indictment stage through release from supervision and including the process of extradition or the exercise of executive clemency.
- (d) Is maintained for the purpose of an investigation of an individual's fitness for licensure or public employment, or of a grievance or complaint, or a suspected civil offense, so long as the information is withheld only so as not to compromise the investigation, or a related investigation. The identities of individuals who provided information for the investigation may be withheld pursuant to Section 1798.38.
- (e) Would compromise the objectivity or fairness of a competitive examination